



Department of Energy
Golden Field Office
1617 Cole Boulevard
Golden, Colorado 80401-3393

April 19, 2000

TO: All Prospective Applicants:

SUBJECT: AMENDMENT NO. 001 TO SOLICITATION NO. DE-PS36-00GO10500,
ENERGY EFFICIENCY SCIENCE INITIATIVE

This Amendment 001 incorporates the attached list of questions received and the corresponding answers on the Solicitation. The questions and answers are being incorporated as APPENDIX B.

In addition, the following changes are made to the Solicitation:

1. Page 6, under A. **Participation by DOE Management and Operations (M&O) Contractors**, the following sentence is added at the end of the first paragraph:

"The National Energy Technology Laboratory, which is owned and operated by the Federal Government, is not eligible as an applicant or participant under this solicitation."

2. Page 10, under III. **APPLICATION PREPARATION INSTRUCTIONS**, the first paragraph is deleted and replaced with the following:

"The format for preparing the application is provided below. The application shall be submitted in an original plus seven copies. In addition, two additional copies are required for each Secondary Program Area of Interest identified in the proposal in addition to the Primary Program Area of Interest (See instructions for Cover Page on Page 12). The original application (i.e., original signature) shall be identified as "Original" (No. 1) and the remaining copies shall be consecutively numbered 2 through the number of copies submitted. In accordance with 10 CFR Part 600.210(b)(2), State and Local Government Applicants are required to submit an original and two (2) copies of the application. However, State and Local Government Applicants are strongly encouraged to submit the additional copies as instructed above to expedite the evaluation process."

3. Page 12, under 1. Cover Page, the last sentence is deleted and replaced with the following sentences:

"In addition, applicants are required to identify the Program Area of Interest or multiple Program Areas of Interest (for a single project) on the cover page as well as whether their proposed project meets the definition of "fundamental research" as defined in this solicitation. If multiple Program Areas of Interest are proposed, the applicant shall identify which is considered to be the Primary Program Area of Interest and which are considered Secondary Program Areas of Interest."

4. Page 17, under Part Four: Certifications and Other Required Forms, under item f, "The Energy Policy Act (EPAct) Certification"(GO-PF21), the last note in parentheses, "(Each Supplemental Announcement will specify whether EPAct applies)", is deleted.

5. Page 21, under **H. Additional Information** the first paragraph is deleted and replaced with the following:

"DOE may require applications to be clarified to the extent considered necessary. However, the Award may be made solely on the information contained in the initial application."

6. The questions and answers are added as APPENDIX B to the Solicitation.

All other items in the Solicitation remain unchanged.

Sincerely,

(Original Signed By)

Matthew A Barron
Contracting Officer

Attachment

APPENDIX B -QUESTIONS AND ANSWERS

1. **Question:** In the last paragraph on page 4 of the solicitation, it states that if M&O participation is approved for funding then DOE intends to provide direct funding for the M&O's portion of the effort under the existing DOE M&O contract. My interpretation of this is that this funding will be independent from, and not impact, the funding requirements identified by the recipient. Is this a correct interpretation of this statement?

Answer: The total project funding proposed must include the M&O participation. Although the funding will be funded to the M&O outside of the Cooperative Agreement instrument, the amount of funds must be included in the applicants total project costs. This funding will be counted towards the Federal cost share portion of the project.
2. **Question:** Is a collaborative proposal with National Institute of Standards and Technology eligible for this DOE solicitation?

Answer: The Solicitation in section II. A. specifically lists three types of organizations as ineligible for award: 1) another Federal agency; 2) a Federally Funded Research and Development Center (FFRDC) sponsored by another agency; or 3) a DOE Management and Operating (M&O) contractor. The solicitation, however, does allow a DOE M&O contractor to participate in an award if the DOE M&O contractor meets certain DOE controlled requirements. No such allowance is made for participation of the other two types of organizations, FFRDCs and other Federal agencies, which includes the National Institute of Standards.
3. **Question:** Given two proposals of equal technical merit, all other criteria equal except whom the prime investigator was, would one be chosen over another based solely on the fact that an institution of higher learning was the prime investigator?

Answer: The Selection Official may apply the Program Policy Factors to all applications forwarded by the National Merit Review Panel. Only one of the four Program Policy Factors is "The degree of involvement by institutions of higher education" Other Program Policy Factors may be considered when making final selections.

4. Question: Is there a maximum page requirement for the solicitation?
- Answer: The application's Technical Information section may not exceed 20 pages, including all supplemental information, with the exception of resumes (limited to a maximum of 10 pages for all resumes), Field Work Proposal and Authorization from the DOE Contracting Officer if M&O work is proposed.
5. Question: I am a faculty member at a university. I intend to write a proposal in responding to DE-PS36-00GO10500 with the participation from an US company. I will take the lead in this effort. Does my industrial collaborator need to fill out the EAct certification even though they are not the official applicant?
- Answer: Yes, the industrial partner would be required to complete the section under Part II of the EAct Certification which covers project participant economic interest information.
6. Question: Is there a specific format for the technical portion (Section I) of the proposal?
- Answer: As stated on page 12, **C. Section I - Technical Information**, "Section I must include the following items in order given below" The paragraph and following pages provide the format, length(included in this amendment) and order of the technical section of the proposal.
7. Question: Can we work with technology that we have already patented? Can we seek patents on intellectual property resulting from the work? Does the collaboration with a company complicate intellectual property issues between the DOE and our university?
- Answer: Yes. Already patented work may be included in the application. All intellectual property matters will be handled pursuant to Federal law and DOE regulations. Comprehensive intellectual property clauses will be incorporated into any resulting Cooperative Agreement.
8. Question: Is the total project request (for DOE funds) limited to \$600K to \$1,000K for the three year period or per year? For example, if one were to propose a three year project (assuming at least 20% cost share per year by the proposer), could the total request to DOE be for \$600K to \$1,000K PER year?
- Answer: An applicant may propose a total project cost of \$300,000 to \$1 Million per year for a total project cost of \$900,000 to \$3 Million. However, funding for a period beyond the first or second year may be awarded based

on the success of the project during the first or second year, and the availability of funds. As stated in the solicitation, "If the project is proposed for longer than one year, it is anticipated that pre-determined go/no-go decision points will be negotiated as part of the award process." This program is a high priority for DOE and DOE will be working with the relevant Congressional Committees to continue this program in FY 2001 and FY 2002.

9. Question: Will the closing date of the solicitation be extended past May 1, 2000?

Answer: It is anticipated that the closing date will remain the same and not be extended past the May 1, 2000 deadline. In order to have all selected applications awarded by the end of fiscal Year 2000 (September 30, 2000), the schedule must be maintained.

10. Question: Though DOE national labs are not eligible applicants, is there a conflict of interest if we were to include a researcher from one of the DOE national labs as an unpaid consultant to our project?

Answer: Any use of DOE national laboratory personnel in an application as non-paid consultants, should include the same approvals (excluding the Field Work Proposal) as required for paid laboratory personnel. See the Application Preparation Instructions in the solicitation. In addition, as the National Energy Technology Laboratory (NETL) is not eligible as an applicant or participant under this solicitation, researchers from NETL are not eligible to be consultants, paid or unpaid, to projects.

11. Question: Can a project be submitted in which a portion takes place in both the U.S. and in another country?

Answer: All applicants and participants must complete the GO-PF21, EPACT certification unless the applicant or participant is any entity other than an educational, charitable or state government organization as defined in Section 501(C)(3) of the Internal Revenue Code of 1954 (26 U.S.C. 501(C)(3)). The answers provided will determine the eligibility of the non-U.S. participant.